



DEPARTMENT OF THE NAVY  
NAVAL SCHOOL OF HEALTH SCIENCES  
BETHESDA MARYLAND 20889-5611

IN REPLY REFER TO:

NSHSBETHINST 12430.4

02

JAN 10 2000

**NSHS BETHESDA INSTRUCTION 12430.4**

From: Commanding Officer

Subj: CIVILIAN PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 12430.4  
(b) BUMEDINST 12430.4

Encl: (1) Department of Navy, Naval School of Health Sciences  
Bethesda Performance Plan Form/Flowchart  
(2) Sample of Performance Plan with Standards/Flowchart  
(3) Sample of Performance Plan w/Standards for  
Supervisors  
(4) Sample of a Progress Review/Flowchart  
(5) Sample of Rated Performance Plan/Flowchart

1. **Purpose.** To revise policy and responsibility for performance management programs within the Naval School of Health Sciences (NSHS), Bethesda, in compliance with references (a) and (b). The Department of Defense has established a new Performance Management Program whereby the five level performance rating in connection with the civilian awards have been eliminated.

2. **Cancellation.** NSHSBETHINST 12430.1D

3. **Applicability.** This instruction applies to all NSHS civilian employees in General Schedule grades GS-1 through GS-13, GM-13 through GM-15 and civilian supervisors, including senior-level and scientific and professional employees.

4. **Policy.** The Civilian Performance Management Program is designed to involve employees as individuals and as members of a group, in improving organizational effectiveness. In achieving this objective, the performance management program is designed to integrate management processes that:

a. Communicate and clarify mission and organizational goals, and objectives;

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b. Identify employee, team and managerial accountability for the accomplishment of goals and objectives;

c. Involve employees in improving organizational effectiveness and in assessing employee, team and organizational effectiveness and performance;

d. Use appropriate measures of performance to recognize and reward employees and use the results of performance appraisals as a basis for appropriate personnel actions;

e. Involve employees and their representatives in program development and implementation;

f. Encourage employees to take responsibility to continuously improve, support team endeavors, develop professionally, and perform at their full potential.

5. **Action.** The NSHS Bethesda civilian employee performance appraisal period begins 1 July and ends 30 June annually. Mid year review will be performed in January. Enclosure (1) shall be prepared in accordance with this directive, and follow the guidelines of references (a) and (b). They are to be forwarded annually to the Director for Administration no later than the 10<sup>th</sup> working day of July.

a. Performance plans are to be provided to employees within 30 days after the beginning of the appraisal cycle. Performance plans are to be established within 30 days after a new employee reports, a new supervisor reports, or there is a position or grade change.

b. Supervisors are encouraged to elicit employee's participation in developing their standards and elements. However, first-line supervisors have final responsibility for ensuring establishment of performance plans.

c. Performance plans must have at least one critical element. Supervisors may set as many critical elements as they believe represent the employee's most important duties and responsibilities. Supervisors' and managers' performance elements are to reflect Internal Management Control (IMC) and Equal Employment Opportunity in accordance with reference (b), Appendix A.

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d. Performance standards will be established at the "Acceptable" level for each critical element. Acceptable performance on a critical element results in an overall performance rating of "Met." Unacceptable performance on a critical element results in an overall performance rating of "Not Met."

e. First-line supervisors are responsible for setting standards and elements after concurrence and signature of the second-line supervisors. First-line supervisors are responsible for signing their names and dating under "Performance Plan Established" in the row marked "Rater." See enclosures (2) and (3) for the basic standards for federal employees and the Equal Employment Opportunity standard for supervisors.

f. First-line supervisors will complete a "close-out rating" within 30 days of his/her departure and the departure of the employee supervised.

6. **Review and Approval by the Second-Line Supervisor**

a. Second-line supervisors are responsible for reviewing, approving/disapproving, and/or modifying employee's performance plans and plan changes. Second-line supervisors are responsible for signing their names and dating under "Performance Plan Established" in the row marked "Reviewer" prior to presenting to the employee.

b. The Commanding Officer is the only reviewer/rater who is not required to have a second-line supervisor signature.

7. **Responsibilities**

a. **Commanding Officer**

(1) Establish organizational goals and objectives.

(2) Establish the annual beginning and ending dates of the appraisal period.

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(3) Ensure coverage of employees under an implementing instruction consistent with policies and procedures in references (a) and (b).

(4) Provide appropriate training to those involved in the program.

b. Managers and Supervisors shall:

(1) Develop a written performance plan for each covered employee based on work assignments and responsibilities covering the official appraisal period. Performance plans must include as many critical elements that represent the employee's most important duties and responsibilities. Each performance plan must have at least one critical element that addresses the individual performance.

(2) Encourage employee participation to ensure that covered employees are involved in the development of performance plans. Final responsibility for ensuring establishment of such plans rests with the first-level supervisor.

(3) Provide employees with a copy of their performance plans within 30 days of the beginning of each appraisal period. Maintain the original Performance Plan of employees until final appraisal.

(4) Conduct one or more documented progress reviews during the appraisal period. A progress review is required during the month of January. Enclosure (4) is a sample of how a progress review is documented. Progress reviews should be informative and developmental in nature and include discussions between first and second level supervisors.

(5) Prepare a final appraisal at the end of the rating period for each covered employee. This includes a rating for each element and the assignment of a summary level. See enclosure (5).

(6) Provide a copy of the final appraisal to each employee.

(7) Provide assistance to employees in improving their performance at any time during the appraisal cycle that

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performance is determined to be unacceptable or "Not Met" in one or more critical elements.

c. Covered Employees are expected to:

(1) Participate in the development of their performance plan.

(2) Participate in a progress review.

(3) Provide input on their performance accomplishments at the end of the appraisal cycle and participate in the final appraisal discussion.

d. Directors will ensure the Performance Management Plan is implemented.

(1) Ensure the manager and supervisors have set standards and completed progress reviews on all federal employees and inform the Director for Administration when completed.

(2) Review final appraisals and forward original signed Performance Plans to the Director for Administration by the 10<sup>th</sup> working day of July.

e. Director for Administration will coordinate the Civilian Performance Management Program and serve as the principal liaison between this command, the Human Resources Office (HRO), and the Human Resources Service Center (HRSC) and shall:

(1) Ensure managers, supervisors and covered employees are provided with material on program requirements and related performance management issues;

(2) Review all final appraisals submitted by the Directorates and return those requiring additional attention;

(3) Ensure final appraisals requiring review by the Commanding Officer are forwarded to that office not later than the 15<sup>th</sup> working day of the end of the rating period;

(4) Ensure that all final appraisals are forwarded to HRO, Bethesda no later than the last working day of July;

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(5) Assist in ensuring that the Performance Management Program is effectively implemented and rating cycle deadlines are met;

(6) Ensure that master copies of final appraisals are retained by the civilian personnel liaison.

  
D. A. WYNKOOP

Distribution:  
List I & II

# DEPARTMENT OF THE NAVY

## NAVAL SCHOOL OF HEALTH SCIENCES, BETHESDA

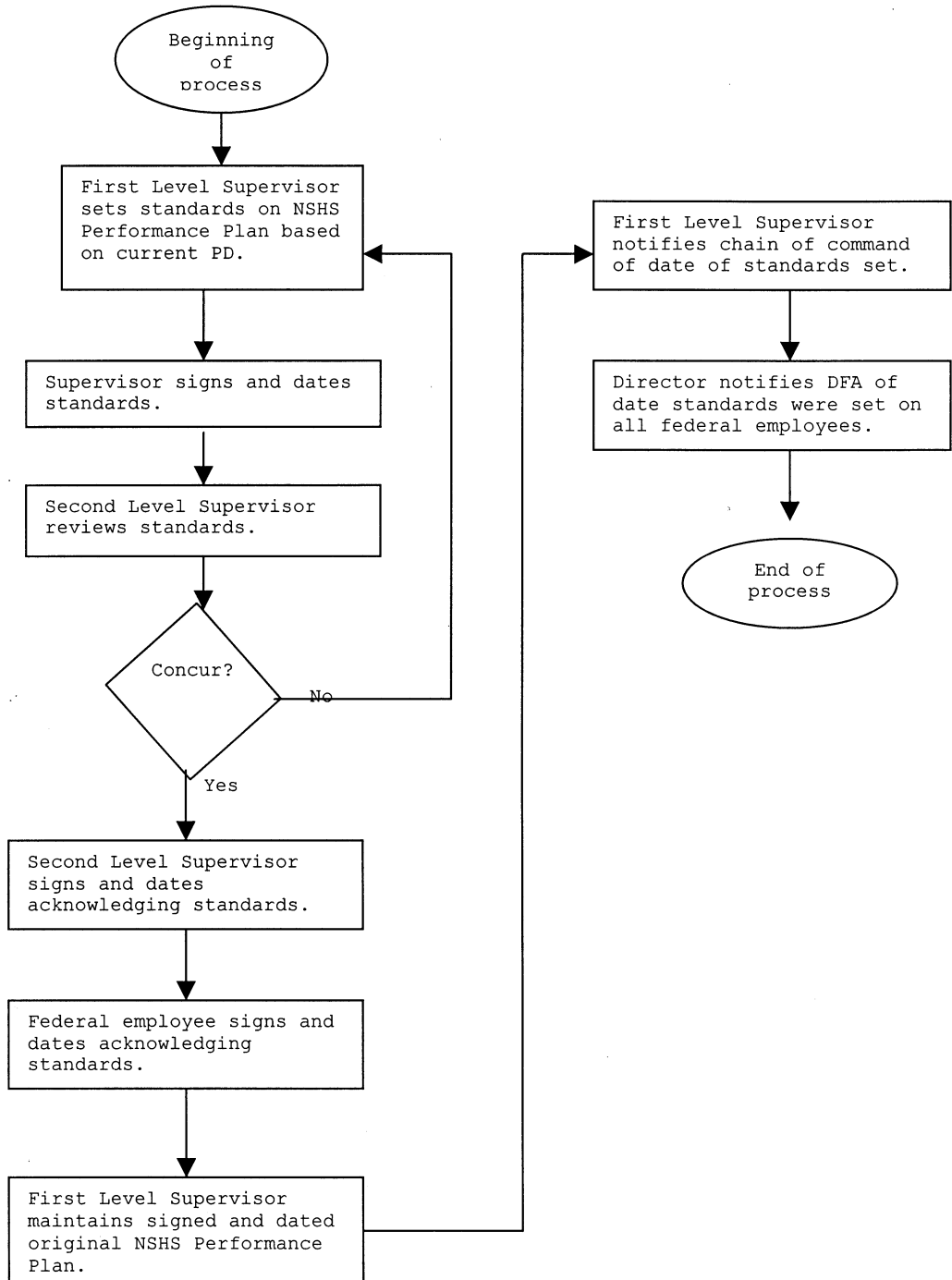
### PERFORMANCE PLAN

1. NAME (LAST, FIRST, MIDDLE INITIAL)				2. SOCIAL SECURITY NUMBER				
3. POSITION TITLE/SERIES/GRADE				4. ORG. CODE				
5. RATING PERIOD:								
FROM:				TO:				
6. RECORD OF REVIEW AND FINAL APPRAISAL								
	PERFORMANCE PLAN ESTABLISHED		PROGRESS REVIEW		SPECIAL		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
RATER								
REVIEWER								
EMPLOYEE								
<p style="text-align: center;">7. RATING OF RECORD</p> <p>-ACCEPTABLE: <u>ALL</u> Critical Elements must be rated MET</p> <p>-UNACCEPTABLE: One or more Critical Elements rated NOT MET</p>								
<p style="text-align: center;">8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE</p> <p style="text-align: center;">_____ YES _____ NO</p>								
9. RATER'S COMMENTS								

**DEPARTMENT OF THE NAVY**  
**NAVAL SCHOOL OF HEALTH SCIENCES, BETHESDA**  
**PERFORMANCE PLAN**

	MET	NOT MET

**SETTING PERFORMANCE STANDARDS**  
(July, New Employee or New Supervisor)



**DEPARTMENT OF THE NAVY**  
**NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA**  
**PERFORMANCE PLAN**

<b>1. NAME (LAST, FIRST, MIDDLE INITIAL)</b> Doe, Mary J.	<b>2. SOCIAL SECURITY NUMBER</b> 123-45-6789
<b>2. POSITION TITLE/SERIES/GRADE</b> Clerk, GS- 326-04	<b>4. ORG. CODE</b> 10

**5. RATING PERIOD:**

**FROM:** 1 July 1998

**TO:** 30 June 1999

**6. RECORD OF REVIEW AND FINAL APPRAISAL**

	PERFORMANCE PLAN ESTABLISHED		PROGRESS REVIEW		SPECIAL		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
<b>RATER</b>	<i>I. M. Firstsup</i> I. M. Firstsup	<i>2 Jul 98</i>	I. M. Firstsup				I. M. Firstsup	
<b>REVIEWER</b>	<i>H. I. Second</i> H. I. Second	<i>2 Jul 98</i>	H. I. Second				H. I. Second	
<b>EMPLOYEE</b>	<i>Mary J. Doe</i> Mary J. Doe	<i>3 Jul 98</i>	Mary J. Doe				Mary J. Doe	

**7. RATING OF RECORD**

-ACCEPTABLE: ALL Critical Elements must be rated MET

-UNACCEPTABLE: One or more Critical Elements rated NOT MET

**8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE**

  X   YES        NO

**9. RATER'S COMMENTS**

**DEPARTMENT OF THE NAVY  
NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA  
PERFORMANCE PLAN**

	MET	NOT MET
<p><b>A. CRITICAL ELEMENT:</b> Types letters, memoranda, messages, reports, and charts from hand written and electronic drafts and proofreads all directorate work. Takes final actions on documents completed by staff members. Upon request, composes correspondence for the director.</p> <p><b>Standard - Acceptable (Fully Successful):</b> Effectively uses a wide variety of word processing functions. Produces or edits documents with maximum of five grammar, punctuation, or spelling errors per 10 pages of a sample taken from a variety of document types. Correspondence is correct in format and prepared in a timely manner.</p> <p><b>B. CRITICAL ELEMENT:</b> Performs these office receptionist functions: receives, screens, refers, and distributes hard copy and electronic mail, fax communications, telephone calls, and visitors. Channel callers to appropriate areas and provides information as needed.</p> <p><b>Standard - Acceptable (Fully Successful):B</b> Records and distributes mail and messages accurately and in a timely fashion. Addresses the needs of visitors, staff members, and phone callers in a responsive and polite manner.</p>		

# DEPARTMENT OF THE NAVY

## NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA

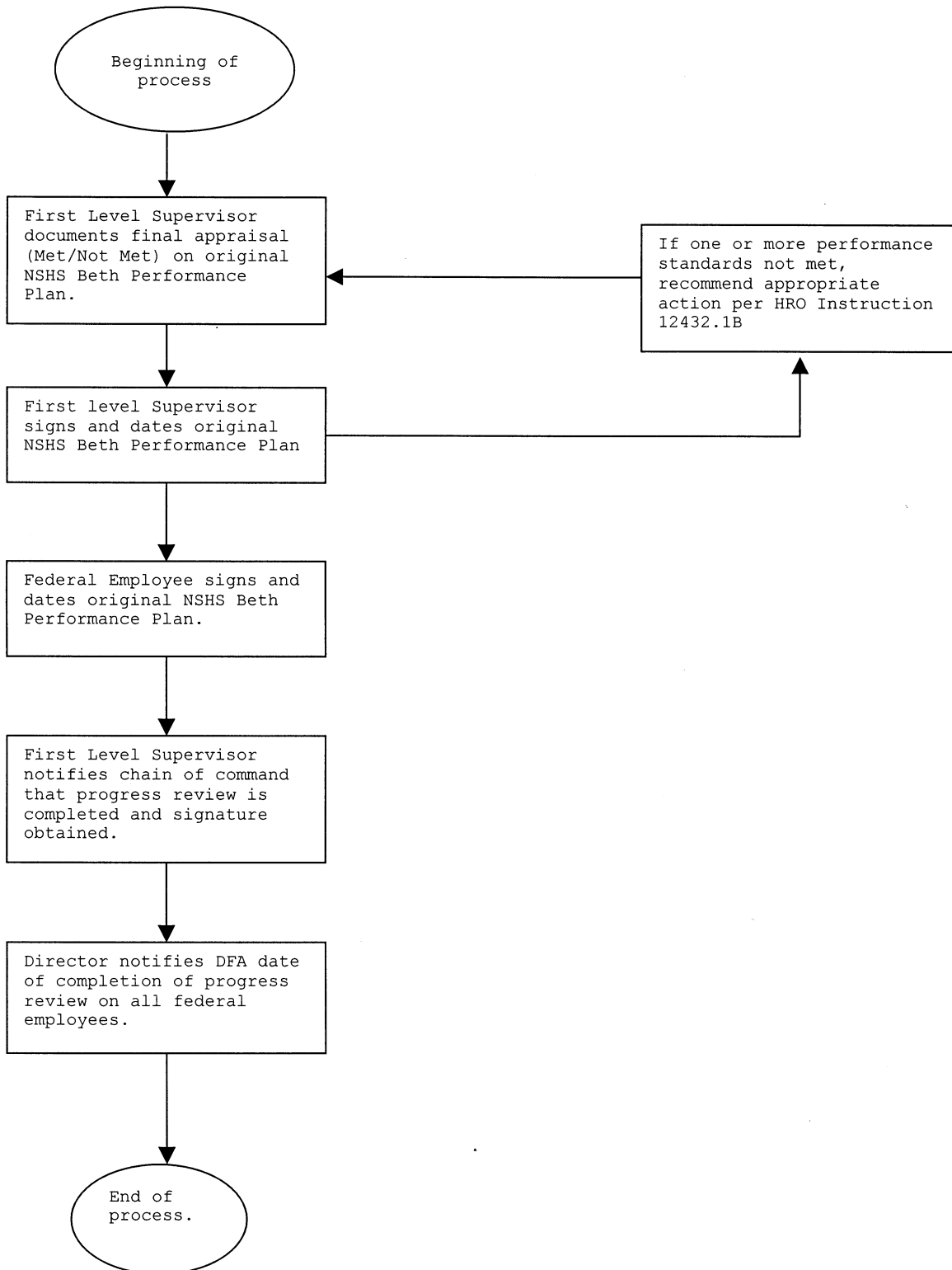
### PERFORMANCE PLAN

1. NAME (LAST, FIRST, MIDDLE INITIAL) Doe, Mary J.				2. SOCIAL SECURITY NUMBER 123-45-6789				
2. POSITION TITLE/SERIES/GRADE Program Manager/Supervisor, GS- 343-12				4. ORG. CODE 10				
5. RATING PERIOD:  <div style="display: flex; justify-content: space-between;"> <span>FROM: 1 July 1998</span> <span>TO: 30 June 1999</span> </div>								
6. RECORD OF REVIEW AND FINAL APPRAISAL								
	PERFORMANCE PLAN ESTABLISHED		PROGRESS REVIEW		SPECIAL		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
RATER	<i>I. M. Firstsup</i> I. M. Firstsup	<i>3 Jul 98</i>	I. M. Firstsup				I. M. Firstsup	
REVIEWER	<i>H. I. Second</i> H. I. Second	<i>2 Jul 98</i>	H. I. Second				H. I. Second	
EMPLOYEE	<i>Mary J. Doe</i> Mary J. Doe	<i>3 Jul 98</i>	Mary J. Doe				Mary J. Doe	
<p style="text-align: center;">7. RATING OF RECORD</p> <p>-ACCEPTABLE: <u>ALL</u> Critical Elements must be rated MET</p> <p>-UNACCEPTABLE: One or more Critical Elements rated NOT MET</p>								
<p style="text-align: center;">8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE</p> <p style="text-align: center;">___X___ YES ___ NO</p>								
9. RATER'S COMMENTS								

**DEPARTMENT OF THE NAVY  
NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA  
PERFORMANCE PLAN**

	<b>MET</b>	<b>NOT MET</b>
<p><b>A. CRITICAL ELEMENT:</b> Manages daily administrative office activities and coordinate administrative procedures for the Directorate.</p> <p><b>Standard - Acceptable ( Fully Successful):</b> Maintains efficient office support work flow, organizes timely administrative procedures, and makes recommendations to correct or improve office procedures</p> <p><b>B. CRITICAL ELEMENT:</b> Types letters, memoranda, messages, reports, and charts from hand written and electronic drafts and proofreads all directorate work. Takes final actions on documents completed by staff members. Upon request, composes correspondence for the director.</p> <p><b>Standard - Acceptable (Fully Successful):</b> Effectively uses a wide variety of word processing functions. Produces or edits documents with maximum of five grammar, punctuation, or spelling errors per 10 pages of a sample taken from a variety of document types. Correspondence is correct in format and prepared in a timely manner.</p> <p><b>C. CRITICAL ELEMENT:</b> Performs these office receptionist functions: receives, screens, refers, and distributes hard copy and electronic mail, fax communications, telephone calls, and visitors. Channel callers to appropriate areas and provides information as needed.</p> <p><b>Standard - Acceptable (Fully Successful):B</b> Records and distributes mail and messages accurately and in a timely fashion. Addresses the needs of visitors, staff members, and phone callers in a responsive and polite manner.</p>		

## PROGRESS REVIEW (JANUARY)



# DEPARTMENT OF THE NAVY

## NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA

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<b>2. POSITION TITLE/SERIES/GRADE</b> Clerk, GS- 326-04	<b>4. ORG. CODE</b> 10

**5. RATING PERIOD:**

**FROM:** 1 July 1998

**TO:** 30 June 1999

**6. RECORD OF REVIEW AND FINAL APPRAISAL**

	PERFORMANCE PLAN ESTABLISHED		PROGRESS REVIEW		SPECIAL		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
<b>RATER</b>	<i>I. M. Firstsup</i> I. M. Firstsup	<i>2 Jul 98</i> 2 Jul 98	<i>I. M. Firstsup</i> I. M. Firstsup	<i>4 Jan 99</i> 4 Jan 99			I. M. Firstsup	
<b>REVIEWER</b>	<i>H. I. Second</i> H. I. Second	<i>2 Jul 98</i> 2 Jul 98	H. I. Second				H. I. Second	
<b>EMPLOYEE</b>	<i>Mary J. Doe</i> Mary J. Doe	<i>3 Jul 98</i> 3 Jul 98	<i>Mary J. Doe</i> Mary J. Doe	<i>4 Jan 99</i> 4 Jan 99			Mary J. Doe	

**7. RATING OF RECORD**

-ACCEPTABLE: ALL Critical Elements must be rated MET

-UNACCEPTABLE: One or more Critical Elements rated NOT MET

**8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE**

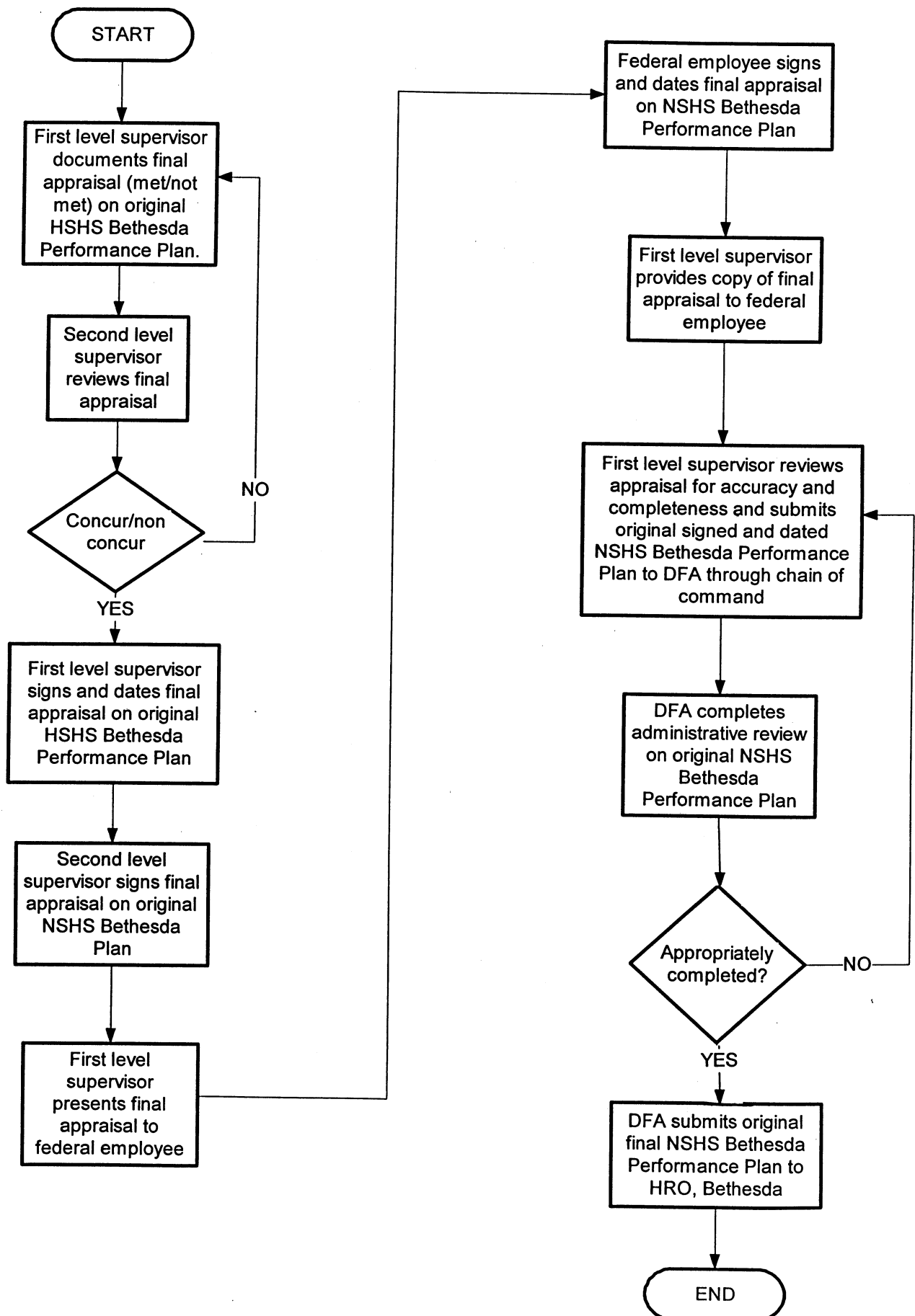
  X   YES        NO

**9. RATER'S COMMENTS**

**DEPARTMENT OF THE NAVY  
NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA  
PERFORMANCE PLAN**

	MET	NOT MET
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# FINAL APPRAISAL (June)



# DEPARTMENT OF THE NAVY

## NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA

### PERFORMANCE PLAN

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<b>2. POSITION TITLE/SERIES/GRADE</b> Clerk, GS- 326-04	<b>4. ORG. CODE</b> 10

**5. RATING PERIOD:**

**FROM:** 1 July 1998

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	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
<b>RATER</b>	<i>I. M. Firstsup</i> I. M. Firstsup	<i>2 Jul 98</i> 2 Jul 98	<i>I. M. Firstsup</i> I. M. Firstsup	<i>4 Jun 99</i> 4 Jun 99			<i>I. M. Firstsup</i> I. M. Firstsup	<i>8 Jul 99</i> 8 Jul 99
<b>REVIEWER</b>	<i>H. I. Second</i> H. I. Second	<i>2 Jul 98</i> 2 Jul 98	H. I. Second				<i>H. I. Second</i> H. I. Second	<i>8 Jul 99</i> 8 Jul 99
<b>EMPLOYEE</b>	<i>Mary J. Doe</i> Mary J. Doe	<i>3 Jul 98</i> 3 Jul 98	<i>Mary J. Doe</i> Mary J. Doe	<i>4 Jun 99</i> 4 Jun 99			<i>Mary J. Doe</i> Mary J. Doe	<i>10 Jul 99</i> 10 Jul 99

**7. RATING OF RECORD**

**-ACCEPTABLE:** ALL Critical Elements must be rated MET

**-UNACCEPTABLE:** One or more Critical Elements rated NOT MET

**8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE**

  X   YES        NO

**9. RATER'S COMMENTS**

Ms. Doe is an asset to this command. Her positive attitude has illuminated the work place has boosted the morale tremendously. Ms. Doe is a fair team player.

## DEPARTMENT OF THE NAVY

# NAVAL SCHOOL OF HEALTH SCIENCES BETHESDA

# PERFORMANCE PLAN

	MET	NOT MET
<p><b>A. CRITICAL ELEMENT:</b> Types letters, memoranda, messages, reports, and charts from hand written and electronic drafts and proofreads all directorate work. Takes final actions on documents completed by staff members. Upon request, composes correspondence for the director.</p> <p><b>Standard - Acceptable (Fully Successful):</b> Effectively uses a wide variety of word processing functions. Produces or edits documents with maximum of five grammar, punctuation, or spelling errors per 10 pages of a sample taken from a variety of document types. Correspondence is correct in format and prepared in a timely manner.</p> <p><b>B. CRITICAL ELEMENT:</b> Performs these office receptionist functions: receives, screens, refers, and distributes hard copy and electronic mail, fax communications, telephone calls, and visitors. Channel callers to appropriate areas and provides information as needed.</p> <p><b>Standard - Acceptable (Fully Successful):B</b> Records and distributes mail and messages accurately and in a timely fashion. Addresses the needs of visitors, staff members, and phone callers in a responsive and polite manner.</p>	<p><b>X</b></p> <p><b>X</b></p>	